

U.S. Department of Justice

Washington, DC 20530

Supplemental Statement**Pursuant to the Foreign Agents Registration Act of 1938, as amended**For Six Month Period Ending May 31, 2011

(Insert date)

I - REGISTRANT

1. (a) Name of Registrant

(b) Registration No.

Scottish Enterprise

3013

(c) Business Address(es) of Registrant
See List Attached

2. Has there been a change in the information previously furnished in connection with the following?

(a) If an individual:

(1) Residence address(es) Yes ☐ No ☐(2) Citizenship Yes ☐ No ☐(3) Occupation Yes ☐ No ☐

(b) If an organization:

(1) Name Yes ☐ No ☒(2) Ownership or control Yes ☐ No ☒(3) Branch offices Yes ☐ No ☒

(c) Explain fully all changes, if any, indicated in Items (a) and (b) above.

IF THE REGISTRANT IS AN INDIVIDUAL, OMIT RESPONSE TO ITEMS 3, 4, AND 5(a).3. If you have previously filed Exhibit C¹, state whether any changes therein have occurred during this 6 month reporting period.Yes ☐No ☒

If yes, have you filed an amendment to the Exhibit C?

Yes ☐No ☐

If no, please attach the required amendment.

¹ The Exhibit C, for which no printed form is provided, consists of a true copy of the charter, articles of incorporation, association, and by laws of a registrant that is an organization. (A waiver of the requirement to file an Exhibit C may be obtained for good cause upon written application to the Assistant Attorney General, National Security Division, U.S. Department of Justice, Washington, DC 20530.)

4. (a) Have any persons ceased acting as partners, officers, directors or similar officials of the registrant during this 6 month reporting period?

Yes ☐ No ☒

If yes, furnish the following information:

Name	Position	Date Connection Ended
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(b) Have any persons become partners, officers, directors or similar officials during this 6 month reporting period?

Yes ☐ No ☒

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
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5. (a) Has any person named in Item 4(b) rendered services directly in furtherance of the interests of any foreign principal?

Yes ☐ No ☒

If yes, identify each such person and describe the service rendered.

(b) During this six month reporting period, has the registrant hired as employees or in any other capacity, any persons who rendered or will render services to the registrant directly in furtherance of the interests of any foreign principal(s) in other than a clerical or secretarial, or in a related or similar capacity? Yes ☐ No ☒

Name	Residence Address	Citizenship	Position	Date Assumed
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(c) Have any employees or individuals, who have filed a short form registration statement, terminated their employment or connection with the registrant during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name	Position or Connection	Date Terminated
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(d) Have any employees or individuals, who have filed a short form registration statement, terminated their connection with any foreign principal during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name	Position or Connection	Foreign Principal	Date Terminated
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6. Have short form registration statements been filed by all of the persons named in Items 5(a) and 5(b) of the supplemental statement?

Yes ☐ No ☒

If no, list names of persons who have not filed the required statement.

II - FOREIGN PRINCIPAL

7. Has your connection with any foreign principal ended during this 6 month reporting period? Yes ☐ No ☒
If yes, furnish the following information:

Foreign Principal

Date of Termination

8. Have you acquired any new foreign principal(s)² during this 6 month reporting period? Yes ☐ No ☒
If yes, furnish the following information:

Name and Address of Foreign Principal(s)

Date Acquired

9. In addition to those named in Items 7 and 8, if any, list foreign principal(s)² whom you continued to represent during the 6 month reporting period.

Scottish Enterprise
150 Broomielaw, 5 Atlantic Quay
Glasgow, Scotland
G2 8LU

10. (a) Have you filed exhibits for the newly acquired foreign principal(s), if any, listed in Item 8?

Exhibit A³ Yes ☐ No ☐Exhibit B⁴ Yes ☐ No ☐

If no, please attach the required exhibit.

- (b) Have there been any changes in the Exhibits A and B previously filed for any foreign principal whom you represented during this six month period? Yes ☐ No ☒

If yes, have you filed an amendment to these exhibits? Yes ☐ No ☐

If no, please attach the required amendment.

² The term "foreign principal" includes, in addition to those defined in section 1(b) of the Act, an individual organization any of whose activities are directly or indirectly supervised, directed, controlled, financed, or subsidized in whole or in major part by a foreign government, foreign political party, foreign organization or foreign individual. (See Rule 100(a) (9)). A registrant who represents more than one foreign principal is required to list in the statements he files under the Act only those principals for whom he is not entitled to claim exemption under Section 3 of the Act. (See Rule 208.)

³ The Exhibit A, which is filed on Form NSD-3 (Formerly CRM-157) sets forth the information required to be disclosed concerning each foreign principal.

⁴ The Exhibit B, which is filed on Form NSD-4 (Formerly CRM-155) sets forth the information concerning the agreement or understanding between the registrant and the foreign principal.

III - ACTIVITIES

11. During this 6 month reporting period, have you engaged in any activities for or rendered any services to any foreign principal named in Items 7, 8, or 9 of this statement? Yes ☒ No ☐

If yes, identify each foreign principal and describe in full detail your activities and services:

Scottish Enterprise carries out activities through Scottish Development International and SCTR, Limited. The activities of Scottish Development International consist of publicizing Scotland as a region of U.S. commercial and industrial development, seeking potential U.S. investors and developing links between Scottish Enterprise and such investors.

The activities of SCTR, Limited consist in publicizing and assisting Scottish companies with opening in the United States.

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12. During this 6 month reporting period, have you on behalf of any foreign principal engaged in political activity⁵ as defined below? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail all such political activity, indicating, among other things, the relations, interests and policies sought to be influenced and the means employed to achieve this purpose. If the registrant arranged, sponsored or delivered speeches, lectures or radio and TV broadcasts, give details as to dates, places of delivery, names of speakers and subject matter.

Foreign Principal - Scottish Enterprise

Political activity - Promotion of business development in Scotland, and export trade from Scotland on behalf of the British government to the United States.

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13. In addition to the above described activities, if any, have you engaged in activity on your own behalf which benefits your foreign principal(s)? Yes ☐ No ☒

If yes, describe fully.

⁵ The term "political activity" means any activity that the person engaging in believes will, or that the person intends to, in any way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting or changing the domestic or foreign policies of the United States or with reference to political or public interests, policies, or relations of a government of a foreign country or a foreign political party.

IV - FINANCIAL INFORMATION**14. (a) RECEIPTS-MONIES**

During this 6 month reporting period, have you received from any foreign principal named in Items 7, 8, or 9 of this statement, or from any other source, for or in the interests of any such foreign principal, any contributions, income or money either as compensation or otherwise? Yes ☒ No ☐

If no, explain why.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies.⁶

Date	From Whom	Purpose	Amount
Various	Various	See attached schedules	\$2,154,599.94

\$2,154,599.94

Total

(b) RECEIPTS - FUNDRAISING CAMPAIGN

During this 6 month reporting period, have you received, as part of a fundraising campaign⁷, any money on behalf of any foreign principal named in Items 7, 8, or 9 of this statement? Yes ☐ No ☒

If yes, have you filed an Exhibit D to your registration? Yes ☐ No ☐

If yes, indicate the date the Exhibit D was filed. Date _____

(c) RECEIPTS-THINGS OF VALUE

During this 6 month reporting period, have you received any thing of value⁹ other than money from any foreign principal named in Items 7, 8, or 9 of this statement, or from any other source, for or in the interests of any such foreign principal?

Yes ☐ No ☒

If yes, furnish the following information:

Foreign Principal	Date Received	Thing of Value	Purpose
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^{6, 7} A registrant is required to file an Exhibit D if he collects or receives contributions, loans, moneys, or other things of value for a foreign principal, as part of a fundraising campaign. (See Rule 201(e)).

⁸ An Exhibit D, for which no printed form is provided, sets forth an account of money collected or received as a result of a fundraising campaign and transmitted for a foreign principal.

⁹ Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks," and the like.

15. (a) DISBURSEMENTS-MONIES

During this 6 month reporting period, have you

(1) disbursed or expended monies in connection with activity on behalf of any foreign principal named in Items 7, 8, or 9 of this statement? Yes ☒ No ☐(2) transmitted monies to any such foreign principal? Yes ☒ No ☐

If no, explain in full detail why there were no disbursements made on behalf of any foreign principal.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies, including monies transmitted, if any, to each foreign principal.

Date	To Whom	Purpose	Amount
Various	Various	Expenditures - see attached schedule	\$2,443,783.44

\$2,443,783.44

Total

(b) DISBURSEMENTS-THINGS OF VALUE

During this 6 month reporting period, have you disposed of anything of value¹⁰ other than money in furtherance of or in connection with activities on behalf of any foreign principal named in Items 7, 8, or 9 of this statement?

Yes ☐No ☒

If yes, furnish the following information:

Date	Recipient	Foreign Principal	Thing of Value	Purpose
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(c) DISBURSEMENTS-POLITICAL CONTRIBUTIONS

During this 6 month reporting period, have you from your own funds and on your own behalf either directly or through any other person, made any contributions of money or other things of value¹¹ in connection with an election to any political office, or in connection with any primary election, convention, or caucus held to select candidates for political office?

Yes ☐No ☒

If yes, furnish the following information:

Date	Amount or Thing of Value	Political Organization or Candidate	Location of Event
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10, 11 Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks" and the like.

V - INFORMATIONAL MATERIALS

16. (a) During this 6 month reporting period, did you prepare, disseminate or cause to be disseminated any informational materials?¹²
 Yes ☒ No ☐

If Yes, go to Item 17.

- (b) If you answered No to Item 16(a), do you disseminate any material in connection with your registration?
 Yes ☐ No ☐

If Yes, please forward the materials disseminated during the six month period to the Registration Unit for review.

17. Identify each such foreign principal.
 Scottish Enterprise, Glasgow, Scotland

18. During this 6 month reporting period, has any foreign principal established a budget or allocated a specified sum of money to finance your activities in preparing or disseminating informational materials? Yes ☒ No ☐
 If yes, identify each such foreign principal, specify amount, and indicate for what period of time.
 See schedule of receipts as identified on page 5, question 14(a).

19. During this 6 month reporting period, did your activities in preparing, disseminating or causing the dissemination of informational materials include the use of any of the following:

- ☒ Radio or TV broadcasts ☒ Magazine or newspaper ☐ Motion picture films ☒ Letters or telegrams
☒ Advertising campaigns ☒ Press releases ☒ Pamphlets or other publications ☒ Lectures or speeches
☒ Other (specify) Presentations to groups of executives

Electronic Communications

- ☒ Email
☒ Website URL(s): www.sdi.co.uk
☐ Social media websites URL(s): _____
☐ Other (specify) _____

20. During this 6 month reporting period, did you disseminate or cause to be disseminated informational materials among any of the following groups:

- ☐ Public officials ☒ Newspapers ☐ Libraries
☐ Legislators ☒ Editors ☐ Educational institutions
☒ Government agencies ☒ Civic groups or associations ☐ Nationality groups
☒ Other (specify) Industry groups and executives

21. What language was used in the informational materials:

- ☒ English ☐ Other (specify) _____

22. Did you file with the Registration Unit, U.S. Department of Justice a copy of each item of such informational materials disseminated or caused to be disseminated during this 6 month reporting period? Yes ☒ No ☐

23. Did you label each item of such informational materials with the statement required by Section 4(b) of the Act? Yes ☒ No ☐

¹² The term informational materials includes any oral, visual, graphic, written, or pictorial information or matter of any kind, including that published by means of advertising, books, periodicals, newspapers, lectures, broadcasts, motion pictures, or any means or instrumentality of interstate or foreign commerce or otherwise. Informational materials disseminated by an agent of a foreign principal as part of an activity in itself exempt from registration, or an activity which by itself would not require registration, need not be filed pursuant to Section 4(b) of the Act.

VI - EXECUTION

In accordance with 28 U.S.C. § 1746, the undersigned swear(s) or affirm(s) under penalty of perjury that he/she has (they have) read the information set forth in this registration statement and the attached exhibits and that he/she is (they are) familiar with the contents thereof and that such contents are in their entirety true and accurate to the best of his/her (their) knowledge and belief, except that the undersigned make(s) no representation as to truth or accuracy of the information contained in the attached Short Form Registration Statement(s), if any, insofar as such information is not within his/her (their) personal knowledge.

(Date of signature)

(Print or type name under each signature or provide electronic signature¹³)

¹³ This statement shall be signed by the individual agent, if the registrant is an individual, or by a majority of those partners, officers, directors or persons performing similar functions, if the registrant is an organization, except that the organization can, by power of attorney, authorize one or more individuals to execute this statement on its behalf.

SCTR LIMITED
and
SCOTTISH DEVELOPMENT INTERNATIONAL

FARA Report - Financial Information - IV

December 1, 2013 to May 31, 2014

Registration No. 3013

Page 5, #14.(a) Receipts - Monies

Boston, MA

<u>Dates</u>	<u>From Whom</u>	<u>Purpose</u>		
Various	Various Refunds	Refunds of Expenses	\$	14,807.51
<u>2013</u>				
Dec. 1	Scottish Enterprise	Expenditures		12,009.35
Dec. 18	Scottish Enterprise	Expenditures		12,242.09
<u>2014</u>				
Jan. 17	Scottish Enterprise	Expenditures		110,000.00
Jan. 31	Scottish Enterprise	Expenditures		12,319.67
Mar. 10	Scottish Enterprise	Expenditures		100,000.00
Apr. 22	Scottish Enterprise	Expenditures		130,000.00
			\$	<u>391,378.62</u>

Total receipts for Scottish Development International \$ 391,378.62

<u>Dates</u>	<u>From Whom</u>	<u>Purpose</u>		
Various	Various	Off. svcs & Refunds	\$	73,615.35
<u>2013</u>				
Dec. 17	Scottish Enterprise	Expenditures		280,000.00
<u>2014</u>				
Jan. 17	Scottish Enterprise	Expenditures		240,000.00
Feb. 11	Scottish Enterprise	Expenditures		160,000.00
Feb. 19	Scottish Enterprise	Expenditures		160,000.00
Mar. 10	Scottish Enterprise	Expenditures		200,000.00
Mar. 27	Scottish Enterprise	Expenditures		250,000.00
Apr. 14	Scottish Enterprise	Expenditures		270,000.00
May 15	Scottish Enterprise	Expenditures		370,000.00
			\$	<u>2,003,615.35</u>

Total receipt for SCTR Limited \$ 2,003,615.35

Total receipts \$ 2,394,993.97

SCTR LIMITED
AND
SCOTTISH DEVELOPMENT INTERNATIONAL
CASH DISBURSEMENTS
DECEMBER 1, 2013 TO MAY 31, 2014
REGISTRATION NO. 3013

DESCRIPTION	SCTR	SDI	TOTAL
U.K. TRAVEL	0.00	65.00	65.00
NON U.K. TRAVEL	29,583.14	2,281.10	31,864.24
U.K. SUBSISTENCE	1,285.00	340.00	1,625.00
NON U.K. SUBSISTENCE	7,702.03	1,581.22	9,283.25
RENT	340,396.58	0.00	340,396.58
INSURANCE	307,445.74	53,722.34	361,168.08
PRINTING & STATIONERY	7,413.65	0.00	7,413.65
TELEPHONE & TELEGRAPH	36,208.48	0.00	36,208.48
POSTAGE	6,065.26	0.00	6,065.26
GENERAL EXPENSE	7,830.15	2,601.01	10,431.16
SUBSCRIPTIONS	11,046.81	0.00	11,046.81
TAXES	2,485.09	0.00	2,485.09
HOSPITALITY - NON U.K.	1,714.62	(1,509.79)	204.83
CATERING	4,964.72	0.00	4,964.72
PROFESSIONAL FEES	49,846.87	0.00	49,846.87
LOCAL SALARIES	1,164,512.27	0.00	1,164,512.27
EQUIPMENT PURCHASE	17,948.71	0.00	17,948.71
HOUSING EXPENSE	2,960.98	0.00	2,960.98
MARKETING	7,491.47	0.00	7,491.47
FOREIGN EXCHANGE LOSS (GAIN)	649.53	0.00	649.53
STAFF DEVELOPMENT	4,330.00	0.00	4,330.00
UTILITIES	5,564.70	0.00	5,564.70
SPECIAL EVENTS	56,476.23	275.00	56,751.23
MAINTENANCE & REPAIRS	11,146.25	0.00	11,146.25
TOTAL	2,085,068.28	59,355.88	2,144,424.16

Scottish Enterprise
December 1, 2013 to May 31, 2014
Registration No. 3013

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One public relations consultant was employed:

Weber Shandwick
101 Main Street, 8th Floor
Cambridge, MA 02142

One advertising firm was employed:

Weber Shandwick
101 Main Street, 8th Floor
Cambridge, MA 02142

During this period the organization made presentations or had exhibits at the following:

New York Asset Management Forum	Dec 9-12, 2013	New York, NY
Gartner Data Centre Conference	Dec 9-12, 2013	Las Vegas, NV
JP Morgan	Jan. 6-14, 2014	San Francisco, CA
PGA Show/Golf Tour Mission	Jan. 22-24, 2014	Orlando, FL
American Lodging Summit	Jan. 22-24, 2014	Los Angeles, CA
Photonics West	Feb. 3-6, 2014	San Francisco, CA
5 th Annual Next Gen Bio-Based Chem	Feb. 4-7, 2014	San Diego, CA
Informex 2014	Feb. 10-12, 2014	Miami, FL
BioPartnering	Feb. 10-12, 2014	San Francisco, CA
MMTC 2014	Feb. 10-12, 2014	San Francisco, CA
Edinburgh Mission to Toronto	Feb. 11-14, 2014	Toronto, Canada
Unconventional Oil and Gas	Feb. 24-28, 2014	Calgary, Alberta
Consero Shared Svce & Outsourcing	Feb. 23-25, 2014	Las Vegas, NV
Pop Up Consulate	Mar. 3-7, 2014	Halifax, Nova Scotia
SXSW	Mar. 7-16, 2014	Austin, TX
National Products Expo West	Mar. 7-9, 2014	Anaheim, CA
Orlando SSON	Mar. 12-14, 2014	Orlando, FL
Seafood Expo North America	Mar. 16-18, 2014	Boston, MA
Game Developer Conference	Mar. 17-21, 2014	San Francisco, CA
Brazil Mission	Mar. 24-28, 2014	Brazil
IDB AGM	Mar. 27-30, 2014	Brazil
Scotland Week Event	Apr. 4-11, 2014	Multiple Locations
ARDA	Apr. 6-10, 2014	Las Vegas, NV
GMREC	Apr. 15-18, 2014	Seattle, WA
Queen's Baton Relay	Apr. 27-May 2, 2014	Multiple Locations
Minister for Commonwealth Games	Apr. 27-May 2, 2014	Multiple Locations
Offshore Technology Conference 2014	May 2-9, 2014	Houston, TX
BioWorld Congress	May 12-15, 2014	Philadelphia, PA
Hospitalar 2014	May 20-22, 2014	Brazil

Scottish Enterprise
FARA Report, Supplement to Part III 11, Activities
May 31, 2014

These goals have been pursued by branches of Scottish Enterprise located in the United States by means of mail, telephone contacts, seminars, exhibitions, advertising in U.S. publications and electronic media and personal visits by officers of the registrant with representatives of U.S. business organizations. They have also been pursued by providing assistance to Scottish companies to begin operations in the U.S. by providing temporary office space and services.

Scottish Enterprise
FARA Report, Business Addresses

Scottish Development International

One Boston Place (New Address)
Suite 3875
Boston, MA 02108

2570 North First Street
Suite 440
San Jose, CA 95131

Highland Oaks, Suite 130
1020 31st Street
Downers Grove, IL 60515

10375 Richmond Avenue, Ste 1300
Houston, TX 77042

5 Penn Plaza
19th Floor
New York, NY 10001

SCTR Limited offices:

Operations are now run out of the above offices.

Scottish Enterprise
FARA Report
Registration 3013
Rider

Scottish Enterprise is being represented in the United States by 2 divisions. The 2 divisions are being maintained for accounting purposes. They operate out of the same offices.